



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 78-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date September 13, 1977	1. Agency Address Georgia Department of Human Resources Commissioner - Office of Regulatory Services - Licensing Services Unit 618 Ponce de Leon Ave., N. E. Atlanta, GA. 30306	Application Number 77-465 thru 77-471	
Application Number DHR-162		Date Received SEP 14 1977	Date Completed DEC 12 1977
2. Person to Contact Ms. Audrey Lane		Working Title Chief, Licensing Services Unit	Telephone Number 894-5688
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. 7 attached b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest _____ Latest _____		5. Records Series Title (followed by title used in office, if different) see attached listing	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? Office of Regulatory Services has the responsibility to provide for the supervision and management of the Department's regulatory and quality control functions including medical care facilities, laboratory facilities and child-caring and child-placing agencies and facilities; to insure objectivity in these activities; to facilitate communication and coordination; to enhance the Department's ability to develop policy on regulatory activities and move to a standardized approach to enforcement; to facilitate the development of interpretive guidelines and a consistent approach to interpretation of regulations; and to provide a mechanism to assist in the development of plans for future regulatory/quality assurance functions where needed. Licensing Services Unit is responsible for the licensing service program for all child-caring and child-placing agencies and facilities in the State; for establishing, interpreting, and implementing policies and procedures including minimum requirements for the licensing of such agencies; for supervising staff that works with more than 1500 licensed agencies serving approximately 100,000 children; for working with committees, courts, other departments, and individuals in the enforcement of the Licensing Law; and for preparing proposals and applications for Federal funds in program areas.			
7. Record Series Description Documents relating to: see attached listing Included are: File is arranged:		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.	
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it? Central Child Care Licensing Office
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? District Office and Child Care Licensing Worker/Consultant
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ years.
b. Statute of limitation	_____ years.	e. Administrative need	_____ years.
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

see attached listing

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

☐ Hold in the current files area _____ month(s) _____ year(s); then

☐ Transfer to local holding area; hold _____ year(s); then

☐ Transfer to State Records Center; hold _____ year(s); then

☐ Destroy.

☐ Transfer to State Archives for permanent retention.

☐ Other (Specify)

see attached listing

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Audrey Lane</i>	9/13/77	<i>Elizabeth Crank</i>	9/13/77
		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	12-12-77
		Secretary of State/Designee	12-6-77
		Attorney General/Designee	12-12-77

Application for Records Retention Schedule

Child Care Licensing Services

Appl.
No.

Description

Disposition

77-465

CHILD PLACING AGENCY LICENSING FILES - Documents relating to licensing facilities to operate as an agency for placing children for adoption or in foster care. Included are: narrative reports as to findings upon annual inspection of facility and records for licensing review; and, where applicable, recommendations for improvement; letter notifying institution that certificate has been issued; and related correspondence. The file is arranged alphabetically by name of facility.

Active Files

Child Care Licensing
Worker/ Consultant

District Office

State Central Child Care
Licensing Office

Cut off file series at end of each calendar year; hold in current files area 2 years; then destroy.

Exception:

transfer to State Archives
for permanent retention:
all papers for years ending
in 9.

Should facility license be
terminated for any reason:

Child Care Licensing
Worker / Consultant

Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers.

District Office

Upon termination of license for particular facility, destroy all papers pertaining to that operation.

State Central Child Care
Licensing Office

Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.

Exception:

transfer to State Archives
for permanent retention:
all papers for years ending
in 9.

Application for Records Retention Schedule
Child Care Licensing Services

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
77-466	MATERNITY HOME LICENSING FILES - Documents relating to licensing facilities to operate as a Maternity Home. Included are: narrative reports as to findings upon annual inspection of the facility and records for licensing review; and, where applicable, recommendations for improvement; letter notifying institution that certificate has been issued; and related correspondence. The file is arranged alphabetically by name of facility.	<u>Active Files</u> Child Care Licensing Worker/ Consultant District Office State Central Child Care Licensing Office Cut off file series at end of each calendar year; hold in current files area 3 years; then destroy. Exception: transfer to State Archives for permanent retention: all papers for years ending in <u>3</u> . Should facility license be terminated for any reason: <u>Child Care Licensing Worker / Consultant</u> Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers. <u>District Office</u> Upon termination of license for particular facility, destroy all papers pertaining to that operation. <u>State Central Child Care Licensing Office</u> Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 3 years; then destroy. Exception: transfer to State Archives for permanent retention: all papers for years ending in <u>3</u> .

Application for Records Retention Schedule

Child Care Licensing Services

Appl.
No.

Description

Disposition

77-467

CHILD CARING INSTITUTION
LICENSING FILES - Documents
relating to licensing facil-
ities to operate as a Child
Caring Institution (for dis-
turbed children). Included
are: narrative reports as
to findings upon annual in-
spection of the facility
and records for licensing
review; and, where appli-
cable, recommendations for
improvement; letter noti-
fying institution that cer-
tificate has been issued;
and related correspondence.
The file is arranged al-
phabetically by name of
facility.

Active Files

Child Care Licensing
Worker/ Consultant

District Office

State Central Child Care
Licensing Office

Cut off file series at end of
each calendar year; hold in
current files area 3 years;
then destroy.

Exception:

transfer to State Archives
for permanent retention:
all papers for years through
1950; thereafter, all papers
for years ending in 0.

Should facility license be
terminated for any reason:

Child Care Licensing
Worker / Consultant

Upon termination of license
for a particular facility,
remove current licensing
summary statements, fire and
health inspections, memos,
notes from drop-in visits,
measurements and blueprints,
letters, self-study, and
application for license;
transfer above-listed papers
to State Central Child Care
Licensing Office; destroy
all other papers.

District Office

Upon termination of license
for particular facility,
destroy all papers pertaining
to that operation.

State Central Child Care
Licensing Office

Upon receipt of records from
Worker/Consultant, combine
all papers, removing dupli-
cations; place file contain-
ing combined papers in inactive
file; cut off inactive file
series at end of each calendar
year; hold in current files
area 3 years; then destroy.

Exception:

transfer to State Archives
for permanent retention:
all papers for years through
1950; thereafter, all papers
for years ending in 0.

Application for Records Retention Schedule

Child Care Licensing Services

Appl.
No.

Description

Disposition

77-468

FAMILY DAY CARE HOMES REGISTRATION LICENSING FILES - Documents relating to licensing facilities to operate as a Family Day Care Home. Included are: form DCS/SSS(1)-9 (Application for License) which shows name and address of applicant, number of persons receiving care, age range of persons receiving care, hours in which care is given, number of staff, description of services offered, description of physical facilities; and signature of applicant; and form DCS/SSS(1)-38 (Rev. 3-75) (Memorandum of Visit) which shows name of investigator, name and address of facility; purpose of visit; findings (number of children and number of staff), whether or not care is adequate, action taken or to be taken, and other remarks. The file is arranged alphabetically by name of home.

Active Files

Child Care Licensing
Worker/ Consultant

District Office

State Central Child Care
Licensing Office

Cut off file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for 1979; and thereafter, all papers for years ending in 9.

Should facility license be
terminated for any reason:

Child Care Licensing
Worker / Consultant

Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers.

District Office

Upon termination of license for particular facility, destroy all papers pertaining to that operation.

State Central Child Care
Licensing Office

Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for 1979; and thereafter, all papers for years ending in 9.

Application for Records Retention Schedule

Child Care Licensing Services

Appl.
No.

Description

Disposition

77-469

GROUP DAY CARE CENTER LICENSING FILES - Documents relating to licensing facilities for day care services. Included are: form DCS/SSS(1)-10 (Application for License) which shows name and address of facility, number of persons receiving care, hours in which care is given, number of staff, description of services offered and hours of operation, description of physical facilities, and signatures of officials of the Governing Board and Proprietor; notification that license has been issued for given period of time; Relicensing Summary and Recommendations (a report as to what has been accomplished and what needs to be done in order to fulfill requirements for relicensing); reports of investigation in response to complaints; form DCS/SSS(1)-22 (Licensing Record) shows facility name and number, county, date of application, date of inspection for food service, fire safety, license, type of license, capacity, and worker on duty; DCS/SSS(1)-38 (Memorandum of Visit) shows name of DHR worker, date of visit, name and address of facility, name of person contacted, purpose of visit, findings as to number of children, number of staff, whether or not child/staff ratios are adequate and in accordance with licensing requirements, and notations as to what is needed to meet requirements for safety at the facility; and related correspondence. The file is arranged alphabetically by name of facility.

Active Files

Child Care Licensing
Worker/ Consultant

District Office

State Central Child Care
Licensing Office

Cut off file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for years ending in 3.

Should facility license be
terminated for any reason:

Child Care Licensing
Worker / Consultant

Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers.

District Office

Upon termination of license for particular facility, destroy all papers pertaining to that operation.

State Central Child Care
Licensing Office

Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for years ending in 3.

Application for Records Retention Schedule

Child Care Licensing Services

Appl.
No.

Description

Disposition

77-470

CHILD GROUP HOMES LICENSING FILES - Documents relating to licensing facilities to operate as a group home (for youth who have the potential for success in community-based programs, but who are unable to live with parents, relatives, foster homes, etc.). Included are: narrative reports as to findings upon annual inspection of the facility and records for licensing review; and, where applicable, recommendations for improvement; letter notifying institution that certificate has been issued; and related correspondence. The file is arranged alphabetically by name of facility.

Active Files

Child Care Licensing
Worker/ Consultant

District Office

State Central Child Care
Licensing Office

Cut off file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for years ending in 4.

Should facility license be terminated for any reason:

Child Care Licensing
Worker / Consultant

Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers.

District Office

Upon termination of license for particular facility, destroy all papers pertaining to that operation.

State Central Child Care
Licensing Office

Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 3 years; then destroy.

Exception:

transfer to State Archives for permanent retention: all papers for years ending in 4.

Application for Records Retention Schedule

Child Care Licensing Services

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
77-471	REGIONAL YOUTH DEVELOPMENT CENTER LICENSING FILES - Documents relating to licensing facilities to operate as detention centers for children and youth who are awaiting juvenile hearings in court or transfer to another agency. Included are: narrative reports as to findings upon annual inspection of the facility, personnel and client records for licensing review and interim drop-in visits; and, where applicable, recommendations for improvement; letter notifying institution that certificate has been issued;	<p><u>Active Files</u></p> <p>Child Care Licensing Worker/ Consultant</p> <p>District Office</p> <p>State Central Child Care Licensing Office</p> <p>Cut off file series at end of each calendar year; hold in current files area 3 years; then destroy.</p> <p>Exception: transfer to State Archives for permanent retention: all papers for years ending in <u>3</u>.</p> <p>Should facility license be terminated for any reason:</p> <p>Child Care Licensing Worker / Consultant</p> <p>Upon termination of license for a particular facility, remove current licensing summary statements, fire and health inspections, memos, notes from drop-in visits, measurements and blueprints, letters, self-study, and application for license; transfer above-listed papers to State Central Child Care Licensing Office; destroy all other papers.</p> <p><u>District Office</u></p> <p>Upon termination of license for particular facility, destroy all papers pertaining to that operation.</p> <p>State Central Child Care Licensing Office</p> <p>Upon receipt of records from Worker/Consultant, combine all papers, removing duplications; place file containing combined papers in inactive file; cut off inactive file series at end of each calendar year; hold in current files area 3 years; then destroy.</p> <p>Exception: transfer to State Archives for permanent retention: all papers for years ending in <u>3</u>.</p>